

***NATIONAL WEATHER SERVICE INSTRUCTION 70-212***

***December 18, 2015***

***Financial Management***

***Financial Management, NWSPD-70-2***

***NWS PROCUREMENT CONTROLS***

**NOTICE:** This publication is available at: <http://www.nws.noaa.gov/directives/>.

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**OPR:** CFO1 (C.Kirby)

**Certified by:** CFO/CAO (J. Potts)

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**SUMMARY OF REVISIONS:** This instruction supersedes the NWSI 70-212, NWS Procurement Controls dated February 28, 2015.

The changes are as follows:

- Scope: Added hyperlink and wording.
- 3.0 Added hyperlink
- 3.2 Designated Fund Certifying Official (FCO) positions -Added/deleted to the list
- 3.3 Funds Certification and Requisition Approval – Changed format to two tables and changed threshold amounts and positions. Added a footnote for zero dollar C.Requests.
- 4.0 Added wording
- Appendix A added to identify positions by name.

\_\_\_\_\_/signed/  
John E. Potts  
Chief Financial Officer/Chief  
Administrative Officer

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12/4/15  
Date

## NWS Procurement Controls

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## 1. PURPOSE

This procedure implements Acquisition Alert 14-02, “NOAA Internal Control for Funding Approval, Certification and Obligation” and establishes NWS approval hierarchy for Acquisitions, Grants, Agreements, and the Bona Fide Need Statement.

## 2. SCOPE

This procedure applies to all NWS Acquisitions, Grants, and Inter-Agency Agreements above the micro-purchase limit. For purchases below the new micro-purchase limit using a purchase card, please reference [NWS Directive 1-709](#) and [News Flash for NOAA CHs and AOs](#).

## 3. PROCEDURES AND RESPONSIBILITIES

NOAA Acquisitions and Grants (AGO) issued new internal control guidance regarding purchases of products and services to ensure separate approval for bona fide need, funds availability and obligation. Refer to the revised Acquisition Alert (AA) 14-02 “NOAA Internal Control for Funding Approval, Certification and Obligation” [AA 14-02](#). The guidance outlines responsibilities for Requisitioners, Funds Certifying Official and Contracting Officers. It requires the NWS Chief Financial Officer (CFO) to authorize FCOs in writing to certify funds as to availability and suitability for the intended purpose.

### 3.1 Staff Roles and Responsibilities:

- **Requisitioner** - Creates the requisition document, enters all pertinent data elements, and shares the requisition document with the Bona Fide Need Certifier.
- **Bona Fide Need Certifier (BFNC)** - Certifies bona fide need for the product or service being purchased is in the public interest and is applicable for the appropriation to be utilized. The BFNC shall be organizationally detached from the FCO and the CO to ensure an independent and unbiased certification. The Requisitioner and the BFNC do not need to be organizationally detached. The BFNC may retain the role and responsibility of the Requisitioner, if desired.
- **Funds Certifying Official (FCO)** - Certifies that sufficient funds are available in the identified appropriation and suitable for the intended purpose. The FCO shall be organizationally detached from the requisitioner, BFNC, and the CO to ensure an independent and unbiased certification. The FCO shall be authorized in writing by the NWS CFO to certify funds as to availability and suitability for the intended purpose. The NOAA CFO has delegated this authority to the line offices.
- **Contracting Officer (CO)** - Obligates the government pursuant to a procurement contract. The CO shall be organizationally detached from the requisitioner, BFNC, and the FCO to ensure an independent and unbiased certification. The CO shall be authorized in writing by the Bureau Procurement Official to obligate the government.

### **3.2 Designated Funds Certifying Official Positions:**

Each FMC Director must identify annually their FCO employees by name to the CFO, or within 5 business days of a new appointment/change in staff. See Appendix A for a listing of FCO names. The following NWS positions are established as FCOs per section 3.1.

- Office of the Assistant Administrator (AA): OAA Budget Officer and budget analyst backup
- Eastern Region (ER): Budget Officer and budget analyst backup
- Southern Region (SR): Budget Officer and budget analyst backup
- Central Region (CR): Budget Officer and budget analyst backups
- Western Region (WR): Budget Officer and budget analyst backup
- Alaska Region (AR): Budget Officer and budget analyst backup
- Pacific Region (PR): Budget Officer and budget analyst backup
- National Centers for Environmental Prediction (NCEP): Budget Officer and budget analyst backup
- Office of Planning and Programming for Service Delivery: Budget Officer and budget analyst backup
- Office of Facilities (OF): Budget Officer
- Office of Observations (OBS): Budget Officer and budget analyst backups
- Office of Central Processing (CP): Budget Officer and budget analyst backup
- Office of Dissemination (DISS): Budget Officer
- Office of Science and Technology Integration (STI): Budget Officer and budget analyst backup
- Office of Chief Operating Officer (OCOO): Budget Officer and budget analyst backup
- Analyze, Forecast, and Support Office (AFS): Budget Officer and budget analyst backup
- National Water Center (NWC): Budget Officer and budget analyst backup

As budget authority is delegated at the NWS FMC level, FCOs should reside at the FMC Director's organization, not field, center, or headquarters division sub-units. Additional FCO positions and/or different FCO positions other than those listed above may be approved only by the CFO via written justification from the FMC Director.

### **3.3 Funds Certification and Requisition Approval:**

The following individuals must be added to the routing list for approval of all c.requests, grants, and inter-agency agreements requiring signature. See Appendix A for specific names for these positions. Zero dollar requisitions<sup>1</sup> require certification and approval. However, administrative

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<sup>1</sup> [Acquisition Alert 15-03](#) issued May 4, 2015 states the use of "zero dollar" purchase requisitions, e.g, (a) (1) "when the procurement lead time is such then it requires initiation of a procurement in the-then current fiscal year with contact award to be made in the following fiscal year." The extenuating circumstances clause under (b) (1) also allows use when the requirement is to exercise an option for a high risk type contract (cost reimbursement, time-and-materials, and labor-hour) or a firm fixed priced contract under a continuing resolution.

modifications, requisitions for deobligation, and Permanent Change of Station (PCS) packages are excluded from this requirement.

Position	Threshold Dollar Amount
FMC Fund Certifying Officer	All procurement actions
And	
FMC Directors OAA Staff Office Directors See Option Below	Exceeding \$3,500
And	
NWS Deputy CFO	Equal to or exceeding \$25,000
And	
NWS CFO	Equal to or exceeding \$500,000
And	
NWS Deputy Assistant Administrator	Equal to or exceeding \$1,000,000
And	
NWS Assistant Administrator	Equal to or exceeding \$5,000,000

**OPTION:** FMC Directors have the option to delegate up to \$25,000 when a subordinate first line supervisor is a member of the Senior Executive Service (SES). This applies to the National Centers for Environmental Prediction, Office of Observations, and Office of Science and Technology Integration.

The following individuals should be added to the routing list as a carbon copy. See Appendix A for the current names of the individuals.

Position	Threshold Dollar Amount
NWS Acquisition Liaison	Exceeding \$25,000
Facilities Management Analyst	Exceeding \$25,000 for all ORF and PAC facility-related requisitions
Portfolio Directors	C.Requests originating from a region, NCEP, or NWC
Portfolio Budget Officers	C.Requests originating from a region, NCEP, or NWC

#### 4.0 Bona Fide Need Statement

All requests, including grants, must contain documentation of the bona fide need using the standard bona fide need form available on the [NWS Internal Controls page](#).

The bona fide need form must state how the product or service being purchased is in the public interest and is applicable for the appropriation to be utilized. “Adding additional funds to contract” is not a sufficient explanation of a bona fide need.

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For requests with multiple lines of accounting, documentation of rationale and methodology for allocating cost among multiple PPAs must be included. Requisitions including funding sources from other NOAA Line Offices or Staff Offices must include documentation of approval from the corresponding LO/SO CFO.

Forecasting and Advanced Acquisition Planning System (FAAPS) number must be referenced on the bona fide need form for all procurements equal to or exceeding \$150,000.

## Appendix A

### NWS Fund Certifiers and FMC Directors:

Office	Fund Certifier	Fund Certifier Backup	Director
Office of the Assistant Administrator	Lucjan Haber	Gina Galo	Various
Eastern Region	Richard Cochrane	Jane Healey	Jason Tuell
Southern Region	Jerry Owen	Michael Gallant	Steven Cooper
Central Region	Kathleen O'Leary	Ken Pavelle	Christopher Strager
Western Region	Tyler Nelson	Alice Hunt	Grant Cooper
Alaska Region	Jacqueline Reinhart	Lisa Fair	Carven Scott
Pacific Region	Janet Nix	Sherry Kazunaga	Raymond Tanabe
National Centers for Environmental Prediction	Adena Fritz	Dana Zanders	William Lapenta
Office of Planning Programming for Service Delivery	Lucjan Haber	Gina Galo	Kevin Cooley
Office of Facilities	Wanda Bradley	N/A	Deirdre Jones
Office of Observations	Lynn Hodges Zichy	Timothy Richmond, Sheryl Hostetler	Joseph Pica
Office of Central Processing	Lori Batson	Lillian O'Dell	David Michaud
Office of Dissemination	Cindy Shaffer	N/A	Luis Cano
Office of Science and Technology Integration	Lillian O'Dell	Lori Batson	Ming Ji
Office of the Chief Operating Officer	Dawn McClure	Darryl Ransom	John Murphy
Analyze, Forecast & Support Office	Dawn McClure	Darryl Ransom	Andrew Stern
National Water Center	Kathleen O'Leary	Ken Pavelle	Donald Cline

**Acquisition Liaison:** Carla Kirby

**Facilities Management Analyst:** Cassandra Calloway